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PTO/SB/21 (8-00)
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Patent and Trademark Office U.S. Department of Commerce

\$ Sector

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/779,114
Filing Date	February 8, 2001
First Named Inventor	Lawrence P. Shields et al.
Group Art Unit	Not yet assigned
Examiner Name	Not yet assigned
Attorney Docket Number	4034-57

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Petitions to the Commissioner <input checked="" type="checkbox"/> Request For Corrected Filing Receipt with a Copy of the Official Receipt <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Form PTO-1449 ___ References <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application with a Copy of Notice to File Missing Parts of Nonprovisional Application <input checked="" type="checkbox"/> Declaration for Patent Application Sole or Joint <input type="checkbox"/> Petition to Make Special <input type="checkbox"/> Statement pertaining to pre-examination search; and <input type="checkbox"/> Detailed discussion of the references submitted with the Information Disclosure Statement	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input checked="" type="checkbox"/> Drawing(s) - <u>24</u> Sheets <input type="checkbox"/> Licensing-related Papers <input checked="" type="checkbox"/> Petition in Support of Filing on Behalf of Non-Signing Inventors <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Petition for Refund of Overpayment of Application Fees with attachments <input type="checkbox"/> Withdrawal of attorney as Attorney or Agent <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 10px;">Declaration in Support of Filing on Behalf of Non-Signing Inventors Return Receipt Postcard</div>
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Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Leslie Gladstone Restaino, Reg. No. 38,893
Signature	<i>Leslie Gladstone Restaino</i>
Date	June 7, 2001

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on this date

June 7, 2001

Type or printed name	Marcy H. Mancuso		
Signature	<i>Marcy H. Mancuso</i>	Date	June 7, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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FEE TRANSMITTAL **for FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) **\$300.00**
Complete if Known

Application Number	09/779,114
Filing Date	February 8, 2001
First Named Inventor	Lawrence P. Shields et al.
Examiner Name	Not yet assigned
Group Art Unit	Not yet assigned
Attorney Docket No.	4034-57

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **02-4270**

Deposit Account Name **Brown Raysman Millstein Felder & Steiner LLP**

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ **Payment Enclosed:**

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$) **\$0.00**
2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	\$0.00
Multiple Dependent Claims	-3** =	X	\$0.00

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
103 18	203 9	Claims in excess of 20	
102 80	202 40	Independent claims in excess of 3	
104 270	204 135	Multiple dependent claim, if not paid	
109 80	209 40	** Reissue independent claims over original patent	
110 18	210 9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$) **\$0.00**

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	130.00
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	130.00
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40.00
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) **\$300.00**
SUBMITTED BYName (Print/Type) **Leslie Gladstone Restaino**Registration No. (Attorney/Agent) **38,893****Complete (if applicable)**Telephone **(973) 285-3242**Signature *Leslie Gladstone Restaino*Date **June 7, 2001**

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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#6

PATENT
4797-28

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Lawrence P. Shields et al. Docket No.: 4034-57
Serial No. 09/779,114 Group No.: 2161
Filed: February 8, 2001 Examiner: to be assigned
For: **SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE PURSUANT TO STOCK OPTION AND PURCHASE PLANS**

Assistant Commissioner for Patents
Washington, D.C. 20231

REQUEST FOR CORRECTED FILING RECEIPT

- Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.
- There is an error with respect to the following data, which is:

☒ incorrectly entered

and/or

☐ omitted.

Error in	Correct Data
1. <input type="checkbox"/> Applicant's name	1.
2. <input type="checkbox"/> Applicant's address	2.
3. <input checked="" type="checkbox"/> Title	3. System and Method for Execution of Trades Made Pursuant to Stock Option and Purchase Plans
4. <input type="checkbox"/> Filing Date	4.
5. <input type="checkbox"/> Serial Number	5.
6. <input type="checkbox"/> Other—Attorney Docket No.	6.

Leslie Gladstone Restaino
SIGNATURE OF PRACTITIONER

Leslie Gladstone Restaino
(type or print name of practitioner)

Reg. No.: 38,893

Tel. No.: (973) 285-3242

Customer No.:

Brown Raysman Millstein Felder & Steiner LLP
55 Madison Avenue, 4th Floor
Morristown, New Jersey 07960

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. 1.8a)

I hereby certify that this correspondence is, on the date shown below, being:

MAILING

☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

FACSIMILE

☐ transmitted by facsimile to the Patent and Trademark Office.

Date: June 7, 2001

Marcy H. Mancuso
Signature
Marcy H. Mancuso
(type or print name of person certifying)



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/779,114	02/08/2001	2161	1904	4034-57	24	33	15

CONFIRMATION NO. 5695

FILING RECEIPT



OC000000005946484

Leslie Gladstone Restaino
Riker, Danzig, Scherer, Hyland & Perretti LLP
Headquarters Plaza
One Speedwell Avenue
Morristown, NJ 07962

Date Mailed: 04/09/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Lawrence P. Shields, Brooklyn, NY;
Amod Bhargava, North Andover, MA;
Keith Carsten, Danville, CA;
Robert H. Maurer, Levittown, NY;
Michael Cranor, Round Rock, TX;
George Brewster, Chatham Township, NJ;
James A. Humza, Skillman, NJ;
James P. Mooney, River Vale, NJ;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/182,399 02/14/2000

Foreign Applications

If Required, Foreign Filing License Granted 04/06/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

System for execution of trades made pursuant to stock option and purchase plans

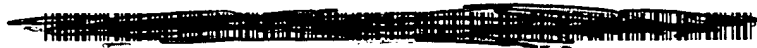
Preliminary Class

705

Data entry by : GENET, YODIT

Team : OIPE

Date: 04/09/2001





**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Lawrence P. Shields et al. Group Art Unit: To be assigned
Serial No.: 09/779,114 Examiner: To be assigned
Filed: February 8, 2001 Docket No. 4034-57
For: **SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE
PURSUANT TO STOCK OPTION AND PURCHASE PLANS**

55 Madison Avenue
Morristown, NJ 07960
June 7, 2001

Assistant Commissioner for Patents
Washington, D.C. 20231

Attention: Customer Service Center
Initial Patent Examination Division

Sir/Madam:

RESPONSE TO NOTICE TO FILE MISSING PARTS

Applicants are in receipt of the Notice to File Missing Parts of Nonprovisional Application ("the Notice"), dated April 9, 2001. In response to the notification that the oath or declaration is missing, applicants enclose an original declaration and power of attorney which has been executed by inventors Lawrence P. Shields, Amod Bhargava, Keith Carsten, George Brewster, James A. Humza, and James P. Mooney. Applicants Robert H. Maurer and Michael Cranor are unavailable and/or unwilling to sign the declaration and power of attorney. In accordance with 37 CFR 1.47 (a), applicants submit a petition and supporting declaration attached herein as Exhibit "1," in support of filing without the signatures of Robert H. Maurer and Michael Cranor.

Also enclosed are substitute drawing sheets 1-24 in compliance with 37 CFR 1.84. Please replace the originally filed drawings with the drawings submitted herein.

Authorization is hereby provided to charge the \$130.00 petition fee to applicant's Deposit Account no. 02-4270.

In view of the foregoing, it is submitted that the application is complete.

A copy of the Notice is enclosed herein.

This Response is submitted in triplicate.

Respectfully submitted,

By: Leslie Gladstone Restaino
Leslie Gladstone Restaino
Reg. No. 38,893
(973) 285-3242

Brown Raysman Millstein Felder & Steiner LLP
55 Madison Avenue
Morristown, New Jersey 07960
(973) 285-3242



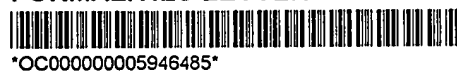
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WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/779,114	02/08/2001	Lawrence P. Shields	4034-57

CONFIRMATION NO. 5695

FORMALITIES LETTER



OC000000005946485

Leslie Gladstone Restaino
Riker, Danzig, Scherer, Hyland & Perretti LLP
Headquarters Plaza
One Speedwell Avenue
Morristown, NJ 07962

Date Mailed: 04/09/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

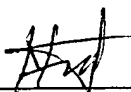
- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

06/15/2001 AZERGAW1 00000078 024270 09779114

01 FC:105

130.00 CH



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE